



From: Secretary of the Navy
To: RADM Bernard J. Smith, USN

Subj: PRECEPT CONVENING FY-01 PROMOTION SELECTION BOARDS TO
CONSIDER OFFICERS IN THE LINE ON THE ACTIVE-DUTY LIST OF
THE NAVY FOR PROMOTION TO THE PERMANENT GRADE OF
COMMANDER

Encl: (1) Board Memberships
(2) FY-01 Active-Duty Officer Promotion Selection Board
Guidance

1. Membership, Date, and Location

a. The selection boards, consisting of you as president and the officers listed in enclosure (1), are ordered to convene at the Navy Personnel Command, Millington, TN, at 0800, 7 March 2000, or as soon as practicable thereafter. The function of the boards is to consider Active-Duty List officers in the line for promotion to the permanent grade of commander. The records and names of all eligible officers, determined as of the date the boards convene, will be furnished to the boards. The names of those officers who are above, in, and below the promotion zone will be indicated, as appropriate.

b. The boards shall proceed in accordance with the FY-01 Active-Duty Officer Promotion Selection Board Guidance, enclosure (2), and any other guidance contained in this letter.

2. Authorized Selections

a. The total number of officers who may be recommended in each competitive category shall be the number that most closely approximates the percentage set forth below of in-zone eligible officers determined as of the date the boards convene. The Chief of Naval Personnel shall determine the number of in zone eligible officers on the convening date, calculate the number that may be recommended for promotion under the percentages set forth below, and furnish the number to the boards. The boards may recommend up to the number provided by the Chief of Naval Personnel.

COMPETITIVE
CATEGORY

PERCENT
TO SELECT

Unrestricted Line	70%
Engineering Duty Officer	70%
Aerospace Engineering Duty Officer (Engineering)	80%
Aerospace Engineering Duty Officer (Maintenance)	70%
Special Duty Officer (Cryptology)	70%
Special Duty Officer (Intelligence)	70%
Special Duty Officer (Public Affairs)	80%
Special Duty Officer (Oceanography)	70%
Limited Duty Officer (Line)	60%

3. Except as authorized or required by the President, Secretary of Defense, or myself, no person shall disclose the proceedings, deliberations, or recommendations of the selection boards.

Original signed by:
The Honorable Richard Danzig

**FY-01 ACTIVE DUTY OFFICER PROMOTION
SELECTION BOARD GUIDANCE**

Appendix

Subject

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C Equal Opportunity Guidance

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- Addresses Content and Routing of Selection Board Reports

E Oaths

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Enclosure (2)

APPENDIX - A

GENERAL GUIDANCE

1. **Duties of the Board President.** The president of the board(s) has been appointed by me and shall perform prescribed administrative duties. The board(s) president has no authority to constrain the board(s) from recommending for promotion those fully qualified officers that the majority finds best qualified to meet the needs of the Navy.

2. **Board Proceedings.** Per DoD Instruction 1320.14, the following directions apply to all board proceedings:

a. Each of you (president, members, recorders, and administrative support personnel) is responsible to maintain the integrity and independence of this/these selection board(s), and to foster careful consideration, without prejudice or partiality, of all eligible officers. DoD Instruction 1320.14 provides specific rules governing the conduct of officer selection boards and the actions of selection board personnel.

b. You must pay particularly close attention to the rules governing communications with and among other board members, the information authorized to be furnished to you, and the procedures you should follow if you believe that the integrity of this selection board has been improperly affected.

c. You may not receive, initiate, or participate in communications or discussions involving information that DoD Instruction 1320.14 precludes from consideration by a selection board. You are to base your recommendations on the material in each officer's military record, any information I have provided to the board in accordance with DoD Instruction 1320.14, and any information communicated to you by individual eligible officers under regulations I have issued. In your deliberations, you may discuss your own personal knowledge and evaluation of the professional qualifications of eligible officers to the extent that such matters are not precluded in law, DoD Instruction 1320.14, or Service regulations from consideration by a selection board or inclusion in an officer's military personnel record. You may not discuss or disclose the opinion of any person not a member of the board concerning an officer being considered unless that opinion is contained in material provided to the board under the provisions of DoD Instruction 1320.14.

d. When discussing your own personal knowledge concerning the professional qualifications of eligible officers, the board is reminded that if personal remarks, based on a member's personal knowledge, could be considered adverse, the member cannot discuss his personal knowledge or evaluation unless such matters are contained in the officer's official record or other material placed before the board in compliance with the law and Service regulation. In addition, should an officer's record

reveal the removal of a fitness report via the Board for Correction of Naval Records or similar agency, the member may not discuss his personal knowledge regarding the circumstance which resulted in the removal of the report.

e. I am the only person who may appear in person to address you on other than administrative matters. All communications with this/these board(s), other than those that are clearly administrative, must be in writing, given to each of you, and made part of the board's record. I have designated in writing those persons authorized to provide routine administrative information to you.

f. Before the report of the promotion selection board is signed, the recommendations may be disclosed only to members of the board, recorders, and those administrative support personnel I have designated in writing. After you sign the board report, only the recommendations of the board may be disclosed; however, I will release the names of the selectees to the public after the board's report is approved. Do not discuss recommended selectees until such time. Except as authorized by DoD Instruction 1320.14 and sections 616(e), 618(f), 14104, or 14108(d) of title 10, U.S. Code, the proceedings/deliberations of the board may not be disclosed to any person who is not a board member or board recorder.

g. If at any time you believe that you cannot in good conscience perform your duties as a member of the board(s) without prejudice or partiality, you have a duty to request relief by me from this duty. I will honor any such request. If a member or recorder believes that the integrity of the board's proceedings has been affected by improper influence of military or civilian authority, misconduct by the board president or a member, or any other reason, or believes someone is exerting or attempting to exert inappropriate influence over the board or its proceedings, he or she has a duty to request from me or the Secretary of Defense relief from the obligation not to disclose board proceedings and, upon receiving it, to report the basis for this belief.

3. **Consideration of Officers "Below The Zone"**. Identifying exceptional officers from below the zone and selecting them for promotion is authorized; however, no more than 10% percent of the total officers selected for promotion may be from below the promotion zone. The board is directed to ensure that below zone candidates are individually evaluated as a source of best and fully qualified officers.

4. **Marital Status**. Promotion boards are prohibited from considering the marital status of a member or the employment, education, or volunteer service of a spouse.

5. **Area Tours.** Repeated tours in a particular geographic location should not be considered negatively, provided the officer has progressed in billet complexity, professional development, and leadership responsibility.

6. **Adverse Information.**

a. Just as you must consider positive performance, you must consider documented incidents of misconduct and substandard performance, which are included in an officer's official service record in determining those officers who are best qualified for promotion. Members must give careful consideration to each such incident. For those eligible officers who are recommended for promotion and who have received disciplinary action, or whose privileged information record (Fiche Five/EMPRS Field Code 17) contains matters relating to conduct or performance of duty, every board member shall review the information contained therein personally prior to the final board decision.

b. Faced with many well-qualified officers, there may be a tendency to simplify your task by summarily putting aside the folders of officers whose past records are less than perfect; however, to do this is to fall short of your obligation. A judgment of the whole person and the whole record is required to determine whose future potential will serve Navy best. You may conclude that particular adverse information undermines an officer's ability to serve successfully in a position of increased authority and responsibility, despite an otherwise outstanding record. On the other hand, you may find that an officer's overall outstanding performance demonstrates such potential for future service that it outweighs any deficiency noted in the record. Some officers will have learned from their mistakes in ways that make them stronger; others will have strengths that outweigh relative weaknesses in their records.

c. Make the best, not simply the most obviously defensible, choices. By doing this you will not only fulfill your obligation, you will also better serve Navy.

7. **Show Cause Determination.** In addition to determining which officers are best qualified for promotion, the board shall review each record carefully to determine whether the officer's performance is such that the individual is considered suitable for retention. The board shall notify the Secretary of the Navy of the name of each officer whose record, in the opinion of a majority of board members, indicates the officer should be required to show cause for retention due to

- a. Substandard performance of duty;
- b. Moral or professional dereliction;
- c. Misconduct; or,

d. Because the officer's retention is not clearly consistent with the interests of national security.

APPENDIX - B

SELECTION STANDARD AND SKILLS GUIDANCE

(Active Duty O5 Line)

1. **Selection Standard.** The board shall consider carefully, without prejudice or partiality, the record of every eligible officer. The officers selected will be those whom a majority of the members of the board consider best qualified for promotion giving due consideration to the needs of the Navy for officers with particular skills. In addition to the standard of best qualified, all officers recommended for promotion must be fully qualified; that is, each officer must be capable of performing the duties of the next higher grade. The best and fully qualified standard shall be applied uniformly to all eligible officers whether below, in, or above the promotion zone.

2. **"Best-Qualified" Standard.** Naval policy regarding application of the statutory best-qualified standard is as follows:

a. The needs of the Navy dictate that our future leaders possess the qualities to excel in combat as commanders or in support of operational commanders or positions of leadership in direct support of fleet operations. Proven excellence in operational environments is an important measure of the qualities required. Performance while in command (for those who have been afforded the opportunity), as well as potential for command, is the ultimate test of fitness for promotion. Officers may have also demonstrated leadership, skill, integrity, and resourcefulness in other difficult and challenging joint and in-service assignments.

b. When considering officers in the Unrestricted Line, the best-qualified standard shall be applied without regard to designator. The promotion opportunity percentage for the Unrestricted Line is applicable to the Unrestricted Line competitive category as a whole; it has no specific applicability to individual communities, designators, or subspecialties within the Unrestricted Line. Promotion selection rates may vary among the Unrestricted Line designators.

c. Over the past decade, low accessions and less than required retention has resulted in a shortfall of Unrestricted Line officers. This URL inventory shortage is greatest at the lieutenant and lieutenant commander levels and will severely constrain our ability to meet future control grade requirements. For this reason, the board should recognize that selections from below the promotion zone, while authorized, will further exacerbate the existing shortfall of junior URL officers. The board is therefore strongly encouraged to give consideration to "above zone" records when selecting which officers are best and

fully qualified to meet the needs of the Navy. Be particularly attentive to the fact that eligible officers who are currently above the zone may not have enjoyed as high of an "in zone" selection opportunity in previous boards. Many of these officers are well qualified to perform the duties of the next higher grade and possess valuable skills and operational experience which, once lost, cannot be replaced from the available below zone inventory.

d. The Unrestricted Line community is experiencing an officer inventory shortage in the Submarine (112X) designator at the commander level. This has resulted in a shortfall of "in zone" eligible officers to the extent that the community can not meet annual designator discrete billet requirements even if selected for promotion at a rate of 100 percent. This shortfall should be taken into consideration when selecting which officers are best and fully qualified to meet the needs of the Navy.

e. There are shortages in the number of officers needed to meet Limited Duty Officer (Line) requirements in the categories of Surface Electronics (618X), Aviation Ordnance (636X) and Photography (647X). The board should give appropriate consideration to officers with these skills when selecting officers best and fully qualified to meet the needs of the Navy.

3. Skill Guidance for 170X (Fleet Support) transition to 110X (Unrestricted Line).

a. The Special Duty Officer (Fleet Support) community was created from the General Unrestricted Line (Gen URL) community in October 1994 when the need for a community no longer flowed from combat restrictions but from the Navy's dependence on the expertise Gen URL community members provided. Legal changes afforded more career options for women, allowing the Navy to better align its officer classifications along lines dictated by mission. The Fleet Support community was therefore founded to provide expertise in the core competencies of Space and Electronic Warfare; Manpower, Personnel and Training; and Logistics Support. In the five years since the Fleet Support community was formed, it solidified its core billet base.

b. The Fleet Support community returned to the Unrestricted Line (URL) in December 1999. All 17XX designated officers were redesignated to 110X. A similar transfer occurred 1 January 1995 when 110X (Gen URL) designated officers became 170X (Fleet Support). The establishment of the Fleet Support community as a Restricted Line (RL) community, and the community's subsequent return to the URL, have not affected the basic criteria used to determine success and potential for these Naval officers, which is sustained superior performance.

c. Most Fleet Support officers have career patterns different than that of their URL contemporaries (Fleet Support officers who transferred into the community from other communities are addressed in paragraph e). Restrictions on duty assignments, which foreclosed some opportunities for assignments, should be considered, as should timing before the selection board. Some Fleet Support officers who are in zone for the first time will be senior to the senior URL officer who defines the URL zone. These Fleet Support officers will be considered above zone, not previously considered. This term, above zone, not previously considered, is a descriptor only and should not prejudice a Fleet Support officer's selection for promotion. Some Fleet Support officers who will be considered in zone will not have had one below zone promotion opportunity. Accordingly, Fleet Support officers may have timed career decisions with previously projected promotion flow points. Sustained superior performance remains the determining factor when selecting which officers are best and fully qualified for promotion.

d. Fleet Support officers were trained on an ad hoc basis and received graduate, senior officer and joint professional military education as billet requirements and funding dictated. There was no community-wide training program. The promotion board shall recognize that, although Fleet Support career development tracks do not match the patterns observed in warfare communities, there is a requirement for officers with specialized competencies not normally developed exclusively at sea at the next higher paygrade. Leadership positions as Division Officer, Department Head, Executive Officer and Commanding Officer are available within all three core competencies and are filled by Fleet Support officers who have screened for these assignments. Command, and positions leading to command, remains the most significant indicator of success and potential for further growth.

e. Fleet Support officers who transferred to the Fleet Support community from the URL or other communities were selected based on their expertise, operational experience, training and education, and were determined best and fully qualified to meet the Fleet Support community's requirements. The promotion board shall recognize the past accomplishments and experience of these officers and how those qualifications contribute to success in the next higher grade within the Fleet Support community. Additionally, in determining an officer's qualification for promotion, past duties performed and the quality of performance shall be determining factors for selection if there has not been enough time in the Fleet Support community to gain experience or career diversity within the community.

4. **Foreign Area Officer Consideration.** Foreign Area Officers (FAOs) are a select group of officers with the requisite

qualifications to directly influence regional operational decisions, contribute to the formulation of U.S. foreign policy, and foster or enhance strong, positive relations with the nations and navies of the world. The quality of performance of these officers in international relations assignments, along with their specialized background and potential for assignment to critical USDAO and joint staff positions, should be given weight equal to that ordinarily given to other members of their warfare communities who have followed more traditional career patterns. In view of the qualifications of officers who have been selected for FAO, the board should give appropriate consideration to officers with these skills when selecting the best and fully qualified to meet the needs of the Navy.

5. **Graduate Education.** Graduate education and specialty skills, represented by proven subspecialties, are important to our Navy and represent a key investment in our future. The Navy needs officers with formal technical and military education in a time of increasing technological sophistication. Advanced education achievement is a significant career milestone in the development of future Navy leadership. The utilization of advanced education in subspecialty tours is an equally significant career milestone. In determining an officer's fitness for selection, you shall favorably consider graduate degrees, military education, and experience in specialized areas.

6. **Innovation Guidance.** In your consideration, please be sensitive to the fact that the needs of the Navy have changed over the years and will continue to change. Please be especially alert for officers who have embraced change by conceiving and trying new solutions to our most challenging problems. The Navy needs bold officers who are willing to think creatively and take well-calculated risks. Seek to promote officers who have shown initiative in finding and pursuing the most effective ways of accomplishing our mission. I note also, in this regard, that officers with the greatest capacity for innovation may have had some billets different from the norm. In the context of a changing Navy, the best-qualified officers may reflect a variety of backgrounds.

7. **Acquisition Professional Consideration.** The Acquisition Professional (AP) community is constituted of a select group of officers with the requisite qualifications to manage acquisition of Navy's current and future weapons systems. The AP community provides Navy's acquisition process a unique combination of both warfare (URL designators) or community-related experience and technical acquisition leadership. The quality of performance of these officers in acquisition assignments, along with their specialized background and potential for assignment to critical acquisition positions, should be given weight equal to that ordinarily given to other members of their communities who have followed more traditional career patterns. In view of the

qualifications of officers who have been selected for the AP community, it is expected that these officers, as a group, in accordance with the best and fully qualified criteria, will be

selected for promotion at a rate not less than that for all officers in the same competitive category. You must give appropriate consideration to AP community officer promotion selection comparability in the selection process.

8. Joint Duty Consideration.

a. Our ability to operate effectively with the other Services is vital to our warfighting capability. To foster this ability, a number of officers are assigned to joint military training and education and to duties with other Services and to joint staffs. Board members shall give appropriate consideration to the performance of officers who are serving or have served in such assignments.

b. To ensure our ability to conduct joint operations, the Navy is firmly committed to placing as many officers as possible in joint duty assignments. These assignments, critical for the future success of the Navy, may have resulted in a career pattern different from officers who have served exclusively in their primary or warfare specialty. In making your determination of those officers who are best and fully qualified for promotion, you must view joint duty assignments as having the same value as assignments within the primary or warfare specialty.

c. The Navy's ability to meet future joint operations requirements depends, in part, on senior officers who have served or are serving in joint duty assignments. Experience in a joint duty billet is a factor for you to consider in determining which officers are best qualified for promotion.

d. The charter of the board is to recommend for promotion those officers who are best and fully qualified for promotion. Within that charter, the board should strive to achieve:

(1) For officers who are serving or have served since 1 October 1986, on the Joint Staff, selection rates at least equal to selection rates for officers of the relevant competitive categories who are serving or have served at Navy Headquarters;

(2) For officers designated as Joint Specialty Officers, selection rates at least equal to selection rates for officers of the relevant competitive categories who are serving or have served at Navy Headquarters; and

(3) For officers who are serving or have served in joint duty assignments other than the Joint Staff, such as the Office of the Secretary of Defense, and excluding officers designated as Joint Specialty Officers, selection rates at least equal to the overall selection rates for officers in the relevant competitive categories.

e. Prior to adjournment, the board must review the extent to which equivalent selection rates have been met.

APPENDIX - C

EQUAL OPPORTUNITY GUIDANCE

1. The Department of the Navy is dedicated to equality of treatment and opportunity for all personnel without regard to race, creed, color, gender, or national origin. The Navy's goal is a professional working environment in which an individual's race, creed, color, gender, or national origin will not limit his or her professional opportunities. Accordingly, within this board's charter to determine those officers who are best and fully qualified, you must ensure that officers are not disadvantaged because of their race, creed, color, gender, or national origin.
2. Your evaluation of minority and women officers, as with all officers, must clearly afford them fair and equitable consideration. You should be particularly vigilant in your evaluation of these records to take care that no officer's promotion opportunity is disadvantaged by past attitudes or by service utilization policies or practices. You should evaluate each officer's potential to assume the responsibilities of the next higher grade, the overriding factor being performance of assigned duties.
3. The Navy has assigned some minority officers outside of traditional career development patterns, e.g., recruiting and equal opportunity billets, in order to effectively promote and administer equal opportunity policies. These assignments, though beneficial to the Navy, may have foreclosed to the officers so assigned opportunities available to other officers. Such assignment practices should not prejudice the selection of these officers for promotion. Accordingly, in determining the qualification for promotion of an officer who has been affected by these assignment practices, duty performed well in such assignments shall be given weight equal to duty performed well by a non-minority officer not so affected.
4. Due to historic statutory restrictions on the assignment of women in the Navy, the records of female officers before the board may show a career pattern different from that of their male counterparts. Such restrictions on duty assignments, which foreclosed to women opportunities for operational and command assignments available to men, should not prejudice the selection of women for promotion. Accordingly, in determining an officer's qualification for promotion, duty performed well by a female officer whose assignability was constrained by law or policy shall be given weight equal to duty performed well by a male officer not so constrained.
5. This guidance should not be interpreted as requiring or permitting preferential treatment of any officer or group of officers on the grounds of race, creed, color, gender, or national origin.

APPENDIX - D

BOARD REPORTS

1. The record of the board's proceedings shall be compiled by the recorders and administrative support staff. The written report of the board shall be signed by the board president, the board members, and board recorders. It shall contain a list of the officers recommended for promotion with appropriate selection statistics as required by DoD Instruction 1320.14, as well as the following items:

a. Convening notice required by section 614 of Title 10, U.S. Code.

b. All instructions, information, and guidance that were provided to the board, under section 615 of title 10, U.S. Code and DoD Instruction 1320.14, except information concerning particular officers, which must be retained and transferred to the Chief of Naval Personnel.

c. Certification that

(1) To the best of your knowledge, the board complied with DoD Instruction 1320.14, all instructions contained in the precept, and, as appropriate, other letters of guidance or instruction provided by me;

(2) You were not subject to or aware of any censure, reprimand, or admonishment about the recommendations of the board or the exercise of any lawful function within the authorized discretion of the board;

(3) You were not subject to or aware of any attempt to coerce or influence improperly any action in the formulation of the board's recommendations;

(4) You were not party to or aware of any attempt at unauthorized communications;

(5) To the best of your knowledge, the board carefully considered the records of each officer whose name was furnished to the board; and

(6) The officers recommended for promotion are, in the opinion of the majority of the members of the board, fully qualified and best qualified for promotion to meet the needs of the Navy among those officers whose names were furnished to the board.

d. A list of all officers eligible for consideration.

e. A sampling of records prepared by the board president under procedures prescribed by the Chief of Naval Operations for use in convening special selection boards.

f. Precept.

g. If applicable, the show-cause list shall contain the names of those officers whose records, in the opinion of a majority of the members of the board, indicate the officer should be required to show cause for his or her retention on active duty. It shall also contain a brief explanation of the basis for the board's opinion. Negative reports shall state, "In the opinion of a majority of the members of the board there were no officers recommended to show cause for their retention on active duty."

h. A list of the names of all officers considered by the board who submitted letters for board consideration requesting that they not be selected for promotion or who have otherwise directly caused their non-selection through written communication to the board. Negative reports shall state, "No officers requested that they not be selected by the board or otherwise caused their non-selection through written communication to the board."

2. The report shall be forwarded for approval to the Deputy Secretary of Defense via first, the Chief of Naval Personnel; second, the Chief of Naval Operations; third, the Judge Advocate General of the Navy for legal review; and fourth, me. In addition, the report of a selection board that considered officers with service in joint duty assignments will be forwarded to the Chairman, Joint Chiefs of Staff for review.

3. The report shall be forwarded for approval to me via first, the Chief of Naval Personnel; second, the Chief of Naval Operations; and third, the Judge Advocate General of the Navy for legal review.

APPENDIX - E

OATHS

1. The president of the board(s) shall administer the following oath or affirmation to the recorder and assistant recorders:

"You, and each of you, do solemnly swear (or affirm) you will keep a true record of the proceedings of this board, and you will not divulge the proceedings of this board except as authorized or required by the Secretary of the Navy or higher authority. So help you God."

2. The recorder shall then administer the following oath or affirmation to the members of the board(s):

"You, and each of you, do solemnly swear (or affirm) you will perform your duties as a member of this board without prejudice or partiality, having in view both the special fitness of officers and the efficiency of the Naval Service, and you will not divulge the proceedings of this board except as authorized or required by the Secretary of the Navy or higher authority. So help you God."

3. The recorder shall then administer the following oath or affirmation to administrative support personnel:

"You, and each of you, do solemnly swear (or affirm) you will not divulge the proceedings of this board except as authorized or required by the Secretary of the Navy or higher authority. So help you God."